

FORM PTO-1449  
(MODIFIED)

**LIST OF PRIOR ART CITED BY APPLICANT**  
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U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

KCC-14,900

SERIAL NO.

10/025,836

APPLICANT(S)

Tong SUN et al.

FILING DATE

18 December 2001

GROUP

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE    | NAME           | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|----|-----------------|---------|----------------|-------|----------|-------------------------------|
| mk                   | AA | 4,273,786       | 06/1981 | Kraskin        | 424   | 319      |                               |
|                      | AB | 2,799,241       | 07/1957 | Wurster        | 118   | 24       |                               |
|                      | AC | 3,089,824       | 05/1963 | Wurster        | 167   | 82       |                               |
|                      | AD | 3,117,024       | 01/1964 | Ross           | 118   | 49       |                               |
|                      | AE | 3,196,827       | 07/1965 | Wurster et al. | 118   | 24       |                               |
|                      | AF | 3,207,824       | 09/1965 | Wurster et al. | 264   | 117      |                               |
|                      | AG | 3,241,520       | 03/1966 | Wurster et al. | 118   | 62       |                               |
|                      | AH | 3,253,944       | 05/1966 | Wurster        | 117   | 100      |                               |
|                      | AI | 3,338,992       | 08/1967 | Kinney         | 264   | 24       |                               |
|                      | AJ | 3,341,394       | 09/1967 | Kinney         | 161   | 72       |                               |
| mk                   | AK | 3,485,706       | 12/1969 | Evans          | 161   | 72       |                               |

## FOREIGN PATENT DOCUMENTS

|    |    | DOCUMENT NUMBER | DATE    | COUNTRY          | CLASS | SUBCLASS | TRANSLATION |    |
|----|----|-----------------|---------|------------------|-------|----------|-------------|----|
|    |    |                 |         |                  |       |          | YES         | NO |
| mk | AL | 01-005553       | 01/1989 | Japan (Abstract) | A61L  | 09/01    | ✓           |    |
|    | AM | 02-190187       | 07/1990 | Japan (Abstract) | C12N  | 11/14A   | ✓           |    |
|    | AN | 392 607         | 10/1990 | EP               | C11D  | 17/04    | ✓           |    |
|    | AO | 392 608         | 10/1990 | EP               | C08B  | 37/16    | ✓           |    |
| mk | AP | 03-109351       | 05/1991 | Japan (Abstract) | C07C  | 69/675   | ✓           |    |

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

|    |    |  |   |
|----|----|--|---|
| mk | AR |  | <i>Dharmawardana, Udeni R. et al.: A Surface Tension Method for Determining Binding Constants</i>   |
|    |    |  | <i>For Cyclodextrin Inclusion Complexes of Ionic Surfactants (May 1993) (pages 2258-2263), Institute for Applied Surfactant Research, The University of Oklahoma.</i> |
|    | AS |  |   |
|    | AT |  |   |

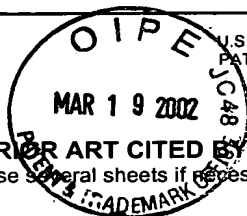
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|----------------------|----|-----------------|---------|---------------------|-------|----------|-------------------------------|
| mk                   | AA | 3,502,538       | 03/1970 | Petersen            | 161   | 150      |                               |
|                      | AB | 3,502,763       | 03/1970 | Hartmann            | 264   | 210      |                               |
|                      | AC | 3,534,075       | 10/1970 | Andress, Jr.        | 260   | 404.5    |                               |
|                      | AD | 3,542,615       | 11/1970 | Dobo et al.         | 156   | 181      |                               |
|                      | AE | 3,692,618       | 09/1972 | Dorschner et al.    | 161   | 72       |                               |
|                      | AF | 3,802,817       | 04/1974 | Matsuki et al.      | 425   | 66       |                               |
|                      | AG | 3,849,241       | 11/1974 | Butin et al.        | 161   | 169      |                               |
|                      | AH | 3,855,046       | 12/1974 | Hansen et al.       | 161   | 150      |                               |
|                      | AI | 3,879,376       | 04/1975 | Vanlerberghe et al. | 260   | 211 R    |                               |
|                      | AJ | 3,901,236       | 08/1975 | Assarsson et al.    | 128   | 284      |                               |
| mk                   | AK | 3,903,259       | 09/1975 | Hart                | 424   | 76       |                               |

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|----|----|-----------------|---------|---------|-------|----------|-------------|----|
|    |    |                 |         |         |       |          | YES         | NO |
| mk | AL | 510 619         | 10/1992 | EP      | A61F  | 13/15    | ✓           |    |
|    | AM | 562 620         | 09/1993 | EP      | A61L  | 15/46    | ✓           |    |
|    | AN | 22500           | 10/1994 | PCT     | A61L  | 15/46    | ✓           |    |
|    | AO | 17175           | 06/1995 | PCT     | A61K  | 9/70     | ✓           |    |
| mk | AP | 685 213         | 12/1995 | EP      | A61F  | 13/15    | ✓           |    |

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|----------------------|----|-----------------|---------|---------------------|-------|----------|-------------------------------|
| MK                   | AA | 3,920,020       | 11/1975 | Kraskin             | 128   | 290      |                               |
|                      | AB | 3,953,608       | 04/1976 | Vanlerberghe et al. | 424   | 361      |                               |
|                      | AC | 4,076,663       | 02/1978 | Masuda et al.       | 260   | 17.4 GC  |                               |
|                      | AD | 4,100,324       | 07/1978 | Anderson et al.     | 428   | 288      |                               |
|                      | AE | 4,286,082       | 08/1981 | Tsubakimoto et al.  | 526   | 240      |                               |
|                      | AF | 4,300,561       | 11/1981 | Kaczmarzyk et al.   | 128   | 285      |                               |
|                      | AG | 4,340,563       | 07/1982 | Appel et al.        | 264   | 518      |                               |
|                      | AH | 4,356,190       | 10/1982 | Kraskin             | 424   | 319      |                               |
|                      | AI | 4,377,167       | 03/1983 | Kaczmarzyk et al.   | 128   | 285      |                               |
|                      | AJ | 4,574,150       | 03/1986 | Austin              | 536   | 20       |                               |
| MK                   | AK | 4,617,230       | 10/1986 | Shah et al.         | 428   | 288      |                               |

**FOREIGN PATENT DOCUMENTS**

|    |    | DOCUMENT NUMBER | DATE    | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|----|----|-----------------|---------|---------|-------|----------|-------------|----|
|    |    |                 |         |         |       |          | YES         | NO |
| MK | AL | 04937           | 02/1996 | PCT     | A61L  | 9/01     | ✓           |    |
|    | AM | 05358           | 02/1996 | PCT     | D06M  | 15/11    | ✓           |    |
|    | AN | 24318           | 08/1996 | PCT     | A61F  | 13/15    | ✓           |    |
|    | AO | 811 390         | 12/1997 | EP      | A61L  | 15/46    | ✓           |    |
| MK | AP | 811 391         | 12/1997 | EP      | A61L  | 15/46    | ✓           |    |

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|----------------------|----|-----------------|---------|------------------|-------|----------|-------------------------------|
| mk                   | AA | 4,623,588       | 11/1986 | Nuwayser et al.  | 428   | 402.24   |                               |
|                      | AB | 4,638,058       | 01/1987 | Brandt et al.    | 536   | 103      |                               |
|                      | AC | 4,675,140       | 06/1987 | Sparks et al.    | 264   | 4.3      |                               |
|                      | AD | 4,818,464       | 04/1989 | Lau              | 264   | 510      |                               |
|                      | AE | 5,061,792       | 10/1991 | Albisetti et al. | 536   | 20       |                               |
|                      | AF | 5,108,820       | 04/1992 | Kaneko et al.    | 428   | 198      |                               |
|                      | AG | 5,161,686       | 11/1992 | Weber et al.     | 206   | 440      |                               |
|                      | AH | 5,206,341       | 04/1993 | Ibay et al.      | 528   | 361      |                               |
|                      | AI | 5,254,168       | 10/1993 | Littman et al.   | 118   | 666      |                               |
|                      | AJ | 5,310,865       | 05/1994 | Enomoto et al.   | 528   | 361      |                               |
| mk                   | AK | 5,336,552       | 08/1994 | Strack et al.    | 428   | 224      |                               |

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|----|----|-----------------|---------|---------|-------|----------|-------------|----|
|    |    |                 |         |         |       |          | YES         | NO |
| mk | AL | 813 848         | 12/1997 | EP      | A61F  | 13/15    | ✓           |    |
|    | AM | 07455           | 02/1998 | PCT     | A61L  | 9/01     | ✓           |    |
|    | AN | 17239           | 04/1998 | PCT     | A61K  | 7/32     | ✓           |    |
|    | AO | 17240           | 04/1998 | PCT     | A61K  | 7/32     | ✓           |    |
| mk | AP | 18439           | 05/1998 | PCT     | A61K  | 7/32     | ✓           |    |

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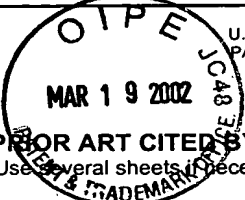
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| *EXAMINER<br>INITIAL  | DOCUMENT NUMBER | DATE      | NAME    | CLASS          | SUBCLASS | FILING DATE<br>IF APPROPRIATE |   |
| MK                    | AA              | 5,348,667 | 09/1994 | Bacon et al.   | 252      | 8.6                           | X |
|                       | AB              | 5,382,400 | 01/1995 | Pike et al.    | 264      | 168                           |   |
|                       | AC              | 5,429,628 | 07/1995 | Trinh et al.   | 604      | 359                           |   |
|                       | AD              | 5,533,990 | 07/1996 | Yeo            | 604      | 363                           |   |
|                       | AE              | 5,534,165 | 07/1996 | Pilosof et al. | 252      | 8.91                          |   |
|                       | AF              | 5,554,597 | 09/1996 | Yu et al.      | 514      | 557                           |   |
|                       | AG              | 5,561,158 | 10/1996 | Yu et al.      | 514      | 557                           |   |
|                       | AH              | 5,571,782 | 11/1996 | Trinh et al.   | 512      | 4                             |   |
|                       | AI              | 5,578,563 | 11/1996 | Trinh et al.   | 510      | 513                           |   |
|                       | AJ              | 5,591,146 | 01/1997 | Hasse          | 604      | 359                           |   |
| MK                    | AK              | 5,593,670 | 01/1997 | Trinh et al.   | 424      | 76.1                          |   |

| FOREIGN PATENT DOCUMENTS |      |         |         |                  |             |         |   |  |
|--------------------------|------|---------|---------|------------------|-------------|---------|---|--|
| DOCUMENT NUMBER          | DATE | COUNTRY | CLASS   | SUBCLASS         | TRANSLATION |         |   |  |
|                          |      |         |         |                  | YES         | NO      |   |  |
| MK                       | AL   | 26808   | 06/1998 | PCT              | A61L        | 9/01    | ✓ |  |
|                          | AM   | 2771863 | 07/1998 | Japan (Abstract) | C07C        | 69/675A | ✓ |  |
|                          | AN   | 45973   | 09/1999 | PCT              | A61L        | 15/44   | ✓ |  |
|                          | AO   | 45974   | 09/1999 | PCT              | A61L        | 15/44   | ✓ |  |
| MK                       | AP   | 953 589 | 11/1999 | EP               | C08G        | 63/80   | ✓ |  |

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|----------------------|----|-----------------|---------|-------------------|-------|----------|-------------------------------|
| MK                   | AA | 5,625,015       | 04/1997 | Brinen et al.     | 526   | 160      |                               |
|                      | AB | 5,635,191       | 06/1997 | Roe et al.        | 424   | 402      |                               |
|                      | AC | 5,648,067       | 07/1997 | Dillenburg et al. | 424   | 65       |                               |
|                      | AD | 5,663,134       | 09/1997 | Trinh et al.      | 510   | 406      |                               |
|                      | AE | 5,668,097       | 09/1997 | Trinh et al.      | 510   | 293      |                               |
|                      | AF | 5,670,475       | 09/1997 | Trinh et al.      | 510   | 470      |                               |
|                      | AG | 5,690,919       | 11/1997 | Rockl et al.      | 424   | 65       |                               |
|                      | AH | 5,698,476       | 12/1997 | Johnson et al.    | 442   | 121      |                               |
|                      | AI | 5,714,137       | 02/1998 | Trinh et al.      | 424   | 76.4     |                               |
|                      | AJ | 5,714,445       | 02/1998 | Trinh et al.      | 510   | 103      |                               |
| MK                   | AK | 5,718,887       | 02/1998 | Wolf et al.       | 424   | 65       |                               |

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|----|----|-----------------|---------|----------------------|-------|----------|-------------|----|
|    |    |                 |         |                      |       |          | YES         | NO |
| MK | AL | 55814           | 11/1999 | PCT                  | C11D  | 3/22     | ✓           |    |
|    | AM | 36037A          | 02/2000 | Australia (Abstract) | A61L  | 15/46    | ✓           |    |
|    | AN | 10500           | 03/2000 | PCT                  | A61F  | 13/15    | ✓           |    |
|    | AO | 3042691 B2      | 05/2000 | Japan (Abstract)     | C12N  | 11/14    | ✓           |    |
| MK | AP | 19857547        | 08/2000 | Germany (Abstract)   | C08L  | 005/08   | ✓           |    |

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|----------------------|----|-----------------|---------|------------------|-------|----------|-------------------------------|
| MK                   | AA | 5,733,272       | 03/1998 | Brunner et al.   | 604   | 359      |                               |
|                      | AB | 5,753,211       | 05/1998 | Garson et al.    | 424   | 61       |                               |
|                      | AC | 5,769,833       | 06/1998 | Hasse            | 604   | 359      |                               |
|                      | AD | 5,770,711       | 06/1998 | Greene et al.    | 536   | 18.6     |                               |
|                      | AE | 5,780,020       | 07/1998 | Peterson et al.  | 424   | 65       |                               |
|                      | AF | 5,785,697       | 07/1998 | Trombetta et al. | 604   | 378      |                               |
|                      | AG | 5,821,215       | 10/1998 | Crudden et al.   | 510   | 392      |                               |
|                      | AH | 5,865,792       | 02/1999 | Ledger et al.    | 604   | 20       |                               |
|                      | AI | 5,871,718       | 02/1999 | Lucas et al.     | 424   | 65       |                               |
|                      | AJ | 5,871,719       | 02/1999 | Lucas et al.     | 424   | 65       |                               |
| MK                   | AK | 5,928,631       | 07/1999 | Lucas et al.     | 424   | 65       |                               |

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|----|----|-----------------|---------|--------------------|-------|----------|-------------|----|
|    |    |                 |         |                    |       |          | YES         | NO |
| MK | AL | 19857548        | 08/2000 | Germany (Abstract) | C08L  | 005/08   | ✓           |    |
| MK | AM | 62826           | 10/2000 | PCT                | A61L  | 15/18    | ✓           |    |
|    | AN |                 |         |                    |       |          |             |    |
|    | AO |                 |         |                    |       |          |             |    |
|    | AP |                 |         |                    |       |          |             |    |

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|----------------------|----|-----------------|---------|-----------------|-------|----------|-------------------------------|
| mk                   | AA | 5,932,495       | 08/1999 | Boney et al.    | 442   | 121      |                               |
|                      | AB | 5,942,217       | 08/1999 | Woo et al.      | 424   | 76.1     |                               |
|                      | AC | 5,955,093       | 09/1999 | Woo et al.      | 424   | 401      |                               |
|                      | AD | 5,961,996       | 10/1999 | Garson et al.   | 424   | 401      |                               |
|                      | AE | 5,968,404       | 10/1999 | Trinh et al.    | 252   | 8.91     |                               |
|                      | AF | 5,997,759       | 12/1999 | Trinh et al.    | 252   | 8.91     |                               |
|                      | AG | 5,998,511       | 12/1999 | Westland et al. | 524   | 13       |                               |
|                      | AH | 6,001,343       | 12/1999 | Trinh et al.    | 424   | 76.4     |                               |
|                      | AI | 6,031,147       | 02/2000 | Gross           | 604   | 359      |                               |
|                      | AJ | 6,033,486       | 03/2000 | Andros          | 134   | 6        |                               |
| mk                   | AK | 6,033,679       | 03/2000 | Woo et al.      | 424   | 401      |                               |

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|  |    |                 |      |         |       |          | YES         | NO |
|  | AL |                 |      |         |       |          |             |    |
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|  | AO |                 |      |         |       |          |             |    |
|  | AP |                 |      |         |       |          |             |    |

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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| EXAMINER | Michele Kidwell | DATE CONSIDERED | 3/12/04 |
|----------|-----------------|-----------------|---------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



|   |   |                                |                          |
|---|---|--------------------------------|--------------------------|
| FORM PTO-1449<br>(MODIFIED)<br><br><b>LIST OF PRIOR ART CITED BY APPLICANT</b><br>(Use several sheets if necessary) | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br>MAR 19 2002 | ATTY. DOCKET NO.<br>KCC-14,900 | SERIAL NO.<br>10/025,836 |
|   | APPLICANT(S)<br>Tong SUN et al.   |                                |                          |
|   | FILING DATE<br>18 December 2001   | GROUP                          |                          |

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE    | NAME             | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|----|-----------------|---------|------------------|-------|----------|-------------------------------|
| ML                   | AA | 6,066,673       | 05/2000 | McIver et al.    | 514   | 634      |                               |
|                      | AB | 6,100,233       | 08/2000 | Sivik et al.     | 512   | 26       |                               |
|                      | AC | 6,106,738       | 08/2000 | Woo et al.       | 252   | 8.91     |                               |
|                      | AD | 6,114,496       | 09/2000 | Otera et al.     | 528   | 361      |                               |
|                      | AE | 6,156,296       | 12/2000 | Riedel et al.    | 424   | 70.1     |                               |
|                      | AF | 6,190,694       | 02/2001 | Mizushima et al. | 424   | 451      |                               |
|                      | AG | 6,229,062       | 05/2001 | Mandell et al.   | 604   | 367      |                               |
| ML                   | AH | H1732           | 06/1998 | Johnson          | 428   | 68       |                               |
|                      | AI |                 |         |                  |       |          |                               |
|                      | AJ |                 |         |                  |       |          |                               |
|                      | AK |                 |         |                  |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|----|-----------------|------|---------|-------|----------|-------------|----|
|  |    |                 |      |         |       |          | YES         | NO |
|  | AL |                 |      |         |       |          |             |    |
|  | AM |                 |      |         |       |          |             |    |
|  | AN |                 |      |         |       |          |             |    |
|  | AO |                 |      |         |       |          |             |    |
|  | AP |                 |      |         |       |          |             |    |

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

Michele Kidwell

DATE CONSIDERED

3/12/04

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